

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

SECURITIES AND EXCHANGE  
COMMISSION,

Plaintiff,

-v-

17-CV-3613 (JPO)

JAMES H. IM,

Defendant.

**VERDICT FORM**

1. (FIRST CLAIM FOR RELIEF) Did Defendant James H. Im (“Im”) violate **Section 10(b)** of the Exchange Act and any subpart of **Rule 10b-5**?

Yes \_\_\_\_\_ No \_\_\_\_\_

2. (SECOND CLAIM FOR RELIEF) Did Im violate **Section 17(a)(1)** of the Securities Act?

Yes \_\_\_\_\_ No \_\_\_\_\_

3. (SECOND CLAIM FOR RELIEF) Did Im violate **Section 17(a)(2)** of the Securities Act?

Yes \_\_\_\_\_ No \_\_\_\_\_

4. (SECOND CLAIM FOR RELIEF) Did Im violate **Section 17(a)(3)** of the Securities Act?

Yes \_\_\_\_\_ No \_\_\_\_\_

5. (THIRD CLAIM FOR RELIEF) Did Im aid and abet a violation by Nomura of **Section 10(b)** of the Exchange Act and any subpart of **Rule 10b-5**?

Yes \_\_\_\_\_ No \_\_\_\_\_

6. (FOURTH CLAIM FOR RELIEF) Did Im aid and abet a violation by Nomura of **Section 17(a)(1)** of the Securities Act?

Yes \_\_\_\_\_ No \_\_\_\_\_

7. (FOURTH CLAIM FOR RELIEF) Did Im aid and abet a violation by Nomura of **Section 17(a)(2)** of the Securities Act?

Yes \_\_\_\_\_ No \_\_\_\_\_

8. (FOURTH CLAIM FOR RELIEF) Did Im aid and abet a violation by Nomura of **Section 17(a)(3)** of the Securities Act?

Yes \_\_\_\_\_ No \_\_\_\_\_

*After completing the Verdict Form, the foreperson should sign and then give a note — NOT the Verdict Form itself — to the Court Security Officer stating that you have reached a verdict.*

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FOREPERSON

Date and Time: \_\_\_\_\_